



Project Monitoring Guide

juillet 19

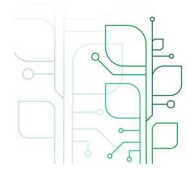
City Investment To Innovate, Integrate and Sustain (CITIIS)



Maturation Phase – Project
Monitoring Tool Guidance Document



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1. CONTEXT

1.1. The Smart City Mission

The Smart City Mission, launched in June 2015, represents an important shift in the Government of India's (GoI) urban sector policy, which aims at promoting smart integrated urban projects to improve the economic attractiveness of cities; as well as strengthening Urban Local Bodies' (ULBs) technical and financial management capacities. The mission covers 100 cities in the Country.

Putting the city users at the core of the integrated urban projects, the mission purpose is "to drive economic growth and improve the quality of life of people by enabling local area development and harnessing technology, especially technology that leads to smart outcomes. Area-based development will transform existing areas (retrofit and redevelop) – including precarious settlements – into better planned ones, thereby improving livability of the whole City. New areas (Greenfield) will be developed around cities in order to accommodate the expanding population in urban areas. Application of Smart Solutions will enable cities to use technology, information and data to improve infrastructure and services. Comprehensive development in this way will improve quality of life, create employment and enhance incomes for all, especially the poor and the disadvantaged, leading to inclusive cities."

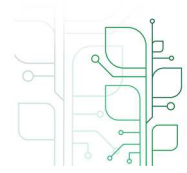
1.2. The CITIIS

The Government of India (GoI) has been working with the French Development Agency (AFD) since 2017 to develop a program in order to catalyse the implementation of Smart City Proposals (SCPs) with a focus on fostering excellence in sustainable urban development, innovation and participatory approaches.

The '**Supporting Smart Cities Mission for a more inclusive and sustainable urban development in India**' aims at setting up a complementary instrument to the Smart Cities Mission to provide a financing incentive and technical support to demonstrative projects selected through a competitive process. It supports projects of excellence, and develops the capacity of Urban Local Bodies to implement integrated urban projects. The program shall also develop peer-learning activities, develop cooperation between smart cities and enhance the capitalisation of best practices at state and national levels.

The program has three components targeting each federal level of the government i.e. national level, state level, and local level. The first component of the Program, the "**City Investments To Innovate, Integrate and Sustain**" (CITIIS), aims at providing financial and technical support to selected projects in 4 fields: sustainable mobility, public open spaces, urban governance and ICT, and social and organisational innovation in low-income settlements. It is designed in three main phases, as follows:

- The "**CITIIS Selection Process**" to select the "best in class" projects / initiatives according to 4 main criteria described in the guidelines. An award letter will be signed with each awarded SPV to specify the financing plan as well as the terms and conditions of the CITIIS contribution.
- The **CITIIS maturation phase**, to enhance project preparation and strengthen the capacity of SPV through regular activities under the "**CITIIS Expertise**" program. This phase should last approximately 12 months for each awarded projects. The maturation phase shall end with the



validation by the PMU of the *Maturation Final Report*, to trigger the **implementation phase** and its related financing. At national level, the completion of the maturation phase shall lead to the capitalisation and dissemination of best practices through the SmartNet portal and events.

- The **CITIIS Implementation phase**, to launch the procurement and implementation of the projects.

1.3. Key Stakeholders & Operational Arrangements

1.3.1. Institutional Stakeholders

The **Ministry of Urban Development (MoHUA)**, Government of India, is the line ministry in charge of rolling out the **Supporting Smart Cities Mission for a more inclusive and sustainable urban development in India** program.

The **French Development Agency (AFD)** is the counterpart of the Credit Facility Agreement (CFA) and Grant Financing Agreement (GFA) signed with the GoI to fund the activities under the Program. AFD also signed a delegation agreement with the **European Union** who is financing the technical assistance program worth EUR 6 million grant.

1.3.2. Operational Stakeholders

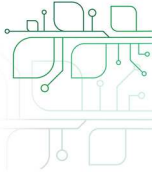
The **National Institute of Urban Affairs (NIUA)** is hosting the Program Management Unit (PMU) to operate CITIIS, supervise the Program's activities at the state level and coordinate capitalisation activities at the national level.

The **Special Purpose Vehicles (SPVs)** are the city level agencies which will implement the awarded projects in the selected cities. They are limited companies incorporated under the Companies Act 2013 at the city level, in which State Governments/UT and the ULB own equal and major shares.

The **Mentors**, selected by the PMU, will provide guidance and coaching to the SPVs through the implementation and maturation phase of the CITIIS project. In particular, they will assist the SPVs in the definition of a result-based management system, provide innovative and participative tools and approaches, and perform capitalization.

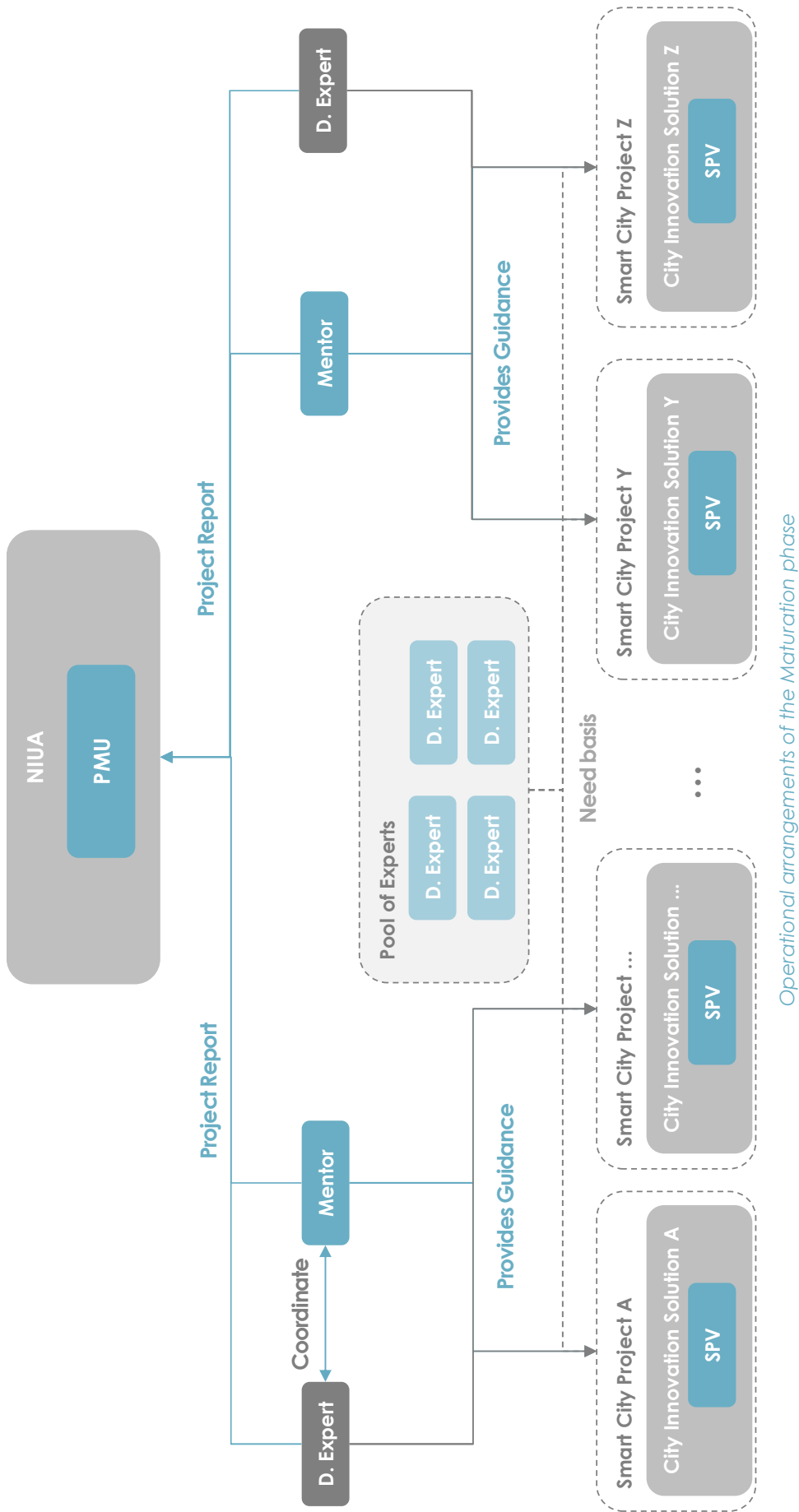
A **pool of specialised experts – the 'specialised technical experts'** – is appointed by the PMU, to provide expertise on several topics and to assist SPVs in the design and implementation of their project, in collaboration with the mentors. These experts comprise two types of specialised experts:

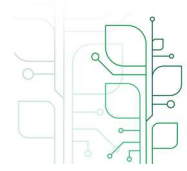
- the **domestic pool of experts** (called 'Domestic Experts'), who will work closely with the mentors, focusing primarily on question multi-stakeholders participation, partnership, innovation and capacity building;
- The pool of **transversal experts** organised into two lots:
 - Lot 1: focusing on transversal urban management project competences (Procurement, E&S, Gender, Climate, etc.);
 - Lot 2: specific and tailored expertise to the SPVs requirements linked to innovation.



1

The below chart provides an overview of the operational arrangements:





2. THE MATURATION PHASE

2.1. Objectives of the Maturation Phase

The maturation phase is planned to **strengthen and refine the selected projects** through CITIIS expertise. The phase shall last approximately 9 months for each awarded project. However, the duration may vary depending upon the readiness of the Special Purpose Vehicle (SPV) in terms of CITIIS project requirements adherence.

The objectives of the Maturation phase can be organised over 5 pillars:

1. Project Structuring;
2. Capacity Enhancement;
3. Stakeholder Engagement;
4. Mainstreaming of CITIIS Values;
5. Evaluation & Monitoring (E&M).

2.2. The Maturation Framework

The maturation phase shall begin with a **Maturation Roadmap** and end with a **Maturation Report**. It shall be endorsed by the Mentor and CITIIS National PMU established at NIUA for validation by the Apex Committee, to trigger the implementation phase and its related financial disbursements.

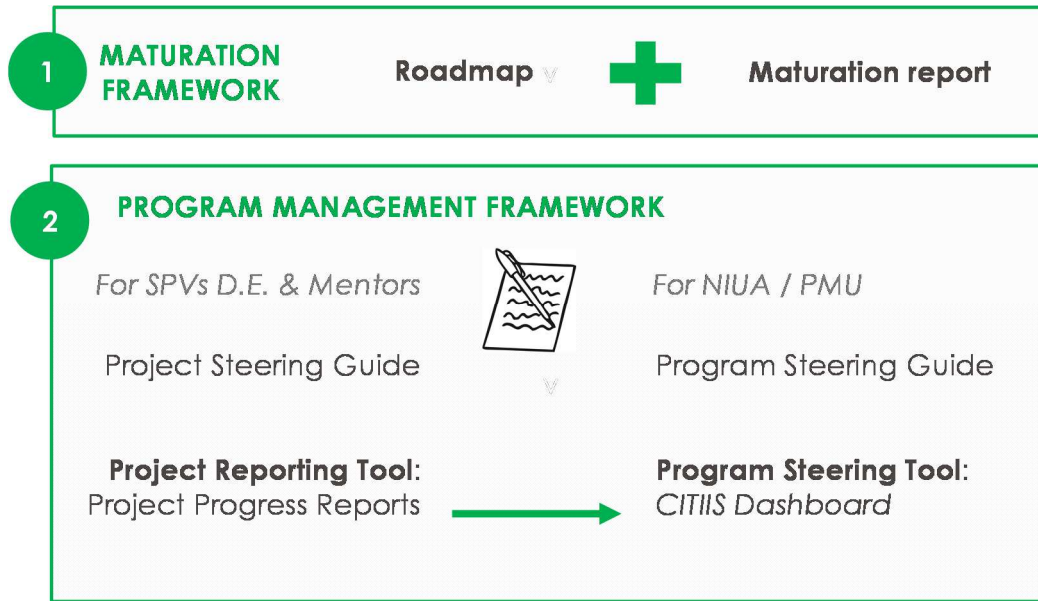
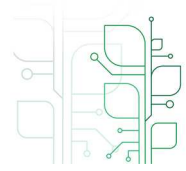
No civil work and /or tendering, except for conducting required studies, project experimentation and design testing shall be initiated by the project owners during the maturation phase.

2.3. The Program Management Framework

In order to monitor and guide the Maturation phase, **management tools have been defined to steer the maturation phases of each of the selected projects**. This takes the form of a **Management framework** for Program delivery, comprising:

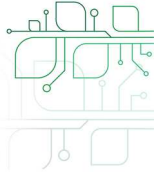
- At Project level :
 - A **Project Reporting Tool**, and
 - A **Project Monitoring Guide** (*the present document*), to provide guidance to the SPV, the Domestic Experts and Mentors with regards to Project Monitoring;
- At Program Level;
 - A **Program Monitoring Tool**, and
 - A **Program Monitoring Guide**, to provide guidance to the PMU with regards to CITIIS Program Monitoring;

The Tools are currently designed on Excel.

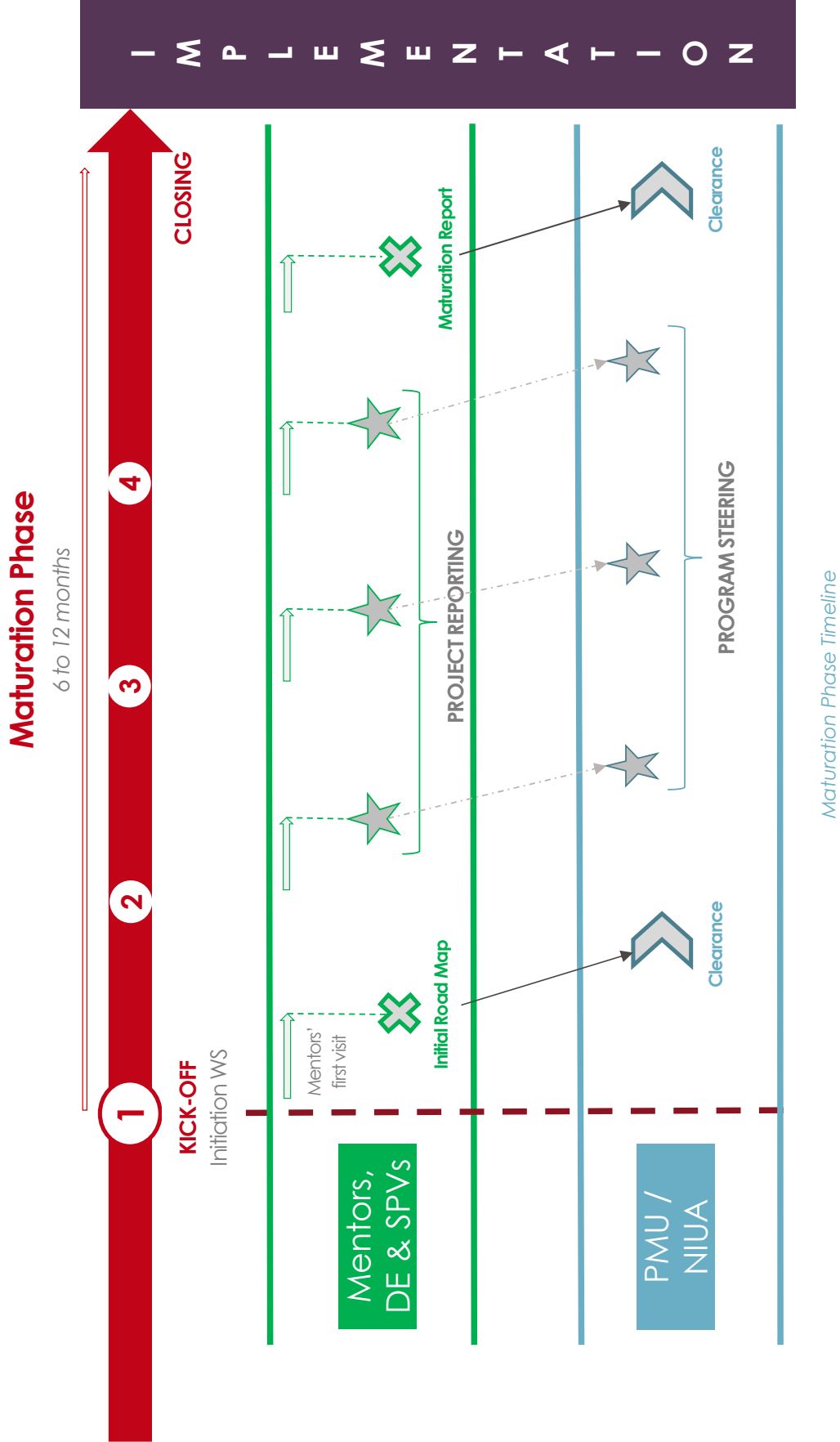


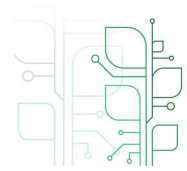
Key outputs of the Maturation Framework and Program Management Framework

2.



2.4. The Maturation Timeline





2.5. Structuring of Maturation Phase and its Monitoring

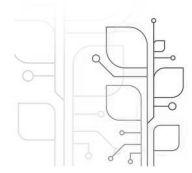
As presented previously, the objectives of the Maturation phase can be broken down in 5 components, the last of which (E&M) is **transversal** and takes the form of the Management Framework.

As a consequence, the Monitoring principles lies over the 4 following pillars:

- | | |
|--|---|
| <p>1 PROJECT STRUCTURING</p> <ul style="list-style-type: none"> ✓ Conducting requisite studies for effective and efficient implementation ✓ Identifying & finalising project components ✓ PLF (Strategy, assumptions, risks) | <p>2 STAKEHOLDER ENGAGEMENT</p> <ul style="list-style-type: none"> ✓ Identification of SH ✓ Cooperation between various stakeholders ✓ Developing a Stakeholder Engagement Plan |
| <p>3 E&S AND CITIIS VALUES</p> <ul style="list-style-type: none"> ✓ E&S Safeguards ✓ Ensure regular monitoring/evaluation and risk management ✓ Innovation and data-driven approaches | <p>4 CAPACITY ENHANCEMENT</p> <ul style="list-style-type: none"> ✓ Capacity building for SPVs through the support of mentors and domestic experts |

To ease the understanding of the Projects and their status, each pillars have been organised over 5 sequential steps linked to specific deliverables.

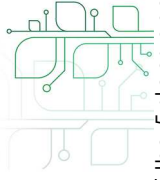
	1	2	3	4	5
Project Structuring	Maturation roadmap PLF	Baseline Study & Report	Feasibility study	Finalized PLF DPR	Result-based management tool
SH Engagement	Mapping & contact identification	SH Engagement Plan	WS co-design of scenarios with SH	WS scenario selection with CLAF	Communication and outreach plan for implementation
Capacity-enhancement	Organisation readiness SPV Staffing Plan	Recruitment (E&S officer + engagement officer)	Training WS (E&S, M&E, communication) - PMU support	Additional training needs/gaps assessment	Capacity-building plan Lessons learnt from Maturation phase
Mainstreaming of CITIIS Values	Review of best-practices & lessons learned	E&S Screening Innovation, climate change WS (PMU to SPV)	E&S Impact Assessment WS co-design / validation of a quick win project	E&S Mitigation Measures Quick-win pilot project	E&S Management Plan Maturation Report



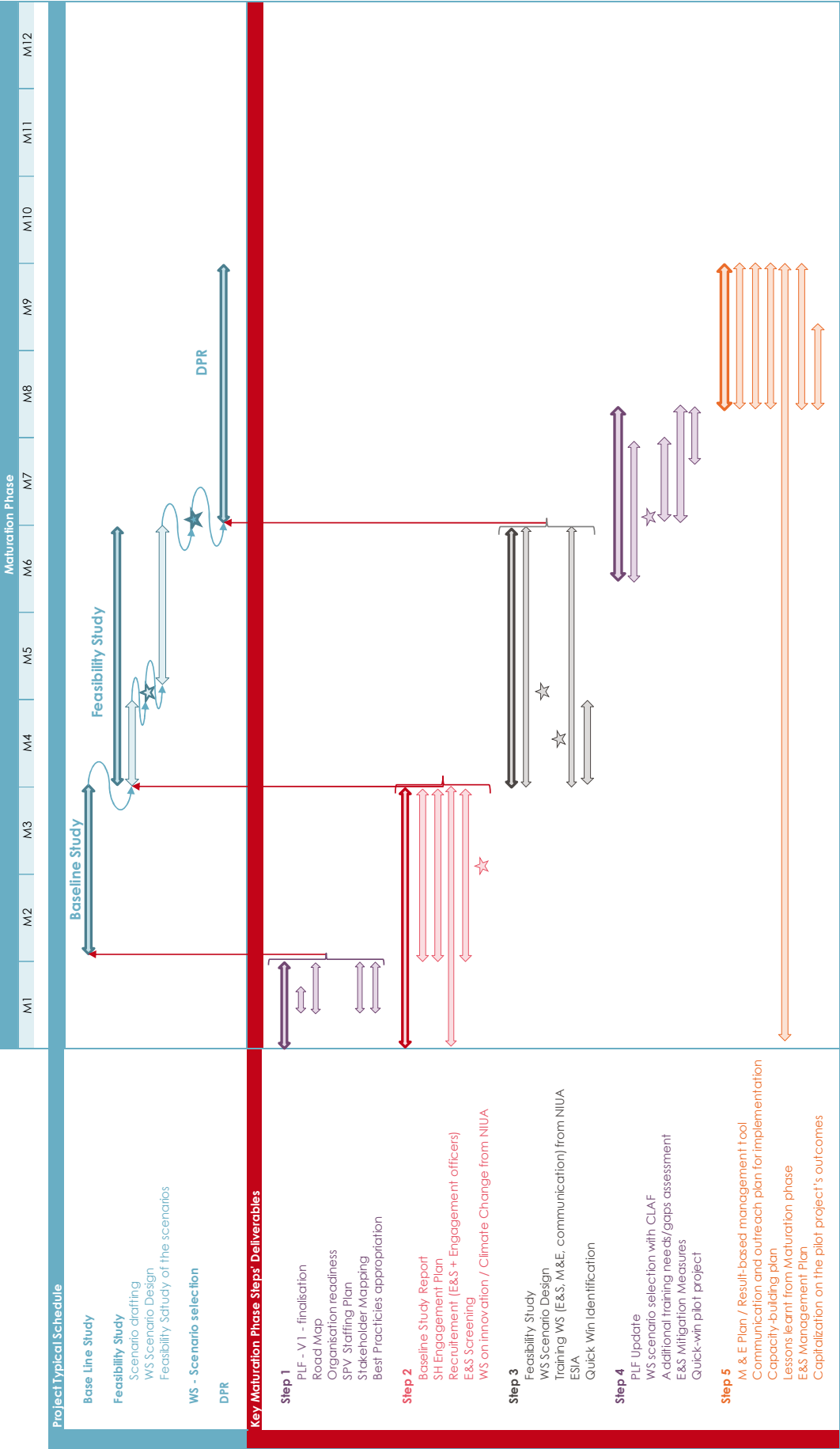
The below table presents the ownerships allocation for the tasks to be covered in each of the five steps:

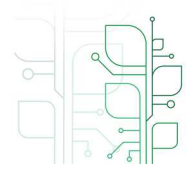
Tasks	Primary Ownership
Step 1	
PLF - V1 - finalisation	SPV
Road Map	Mentors
Organisation readiness	Domestic Experts
SPV Staffing Plan	Domestic Experts
Stakeholder Mapping	Domestic Experts
Best Practices appropriation	Mentors & Domestic Experts
Step 2	
Baseline Study Report	SPV
SH Engagement Plan	SPV & Domestic Experts
Recruitment (E&S + Engagement officers)	SPV
E&S Screening	SPV
WS on innovation / Climate Change from NIUA	PMU
Step 3	
Feasibility Study	SPV
WS Scenario Design	Mentors & Domestic Experts
Training WS (E&S, M&E, communication) from NIUA	PMU
ESIA	SPV
Quick Win Identification	Mentors & Domestic Experts
Step 4	
PLF Finalization	SPV
DPR	SPV
WS scenario selection with CLAF	SPV
Additional training needs/gaps assessment	Domestic Experts
E&S Mitigation Measures	SPV
Quick-win pilot project	SPV
Step 5	
M & E Plan / Result-based management tool	Domestic Experts
Communication and outreach plan for implementation	SPV
Capacity-building plan	Domestic Experts
Lessons learnt from Maturation phase	Mentors
E&S Management Plan	SPV
Maturation Report	Mentors & Domestic Experts

2



The Below table presents a typical Project Maturation phase Schedule and the positioning of the 5 steps and their deliverables in the Maturation calendar.





3. THE MATURATION FRAMEWORK

The Maturation Framework comprises the [Maturation Road Map](#) and the final [Maturation Report](#).

3.1. The Maturation Road Map

3.1.1. Objectives

The objectives of the Maturation road map is twofold:

- Providing an objective picture of the current state of the Project;
- Defining the work-plan / road map to complete the Maturation phase from the current state.

As a consequence, the Maturation Road Map is structured over the 4 pillars, as previously developed:

- Project Structuring;
- Capacity Enhancement;
- Stakeholder Engagement;
- Mainstreaming of CITIIS values.

The Maturation Phase Road Map shall thus provide:

- An overview of the Project and its current status on the CITIIS Road Map Matrix (cf. § 2.5);
- Detailed information of the current status of the project;
- Proposed way forward to reach the maturation, presenting the planned activities;
- Details on key areas of concerns.

3.1.2. Template

A proposed template is attached in Appendix 1 for the Maturation Road Map.

3.2. The Maturation Report

3.2.1. Objective

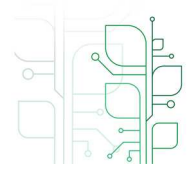
The Maturation Report is the final deliverable of the maturation phase and shall present the activities led during the maturation phase and present in appendix all the required deliverables as per the 'Maturation compliance' criteria.

Moreover, the Maturation Report shall:

- Highlight the main identified issues for the implementation phase;
- Provide qualitative assessment of the maturation phase and what it has brought to the project;
- Propose lessons-learned and best-practices.

3.2.2. Template

A proposed template is attached in Appendix 2 for the Maturation Report.



4. THE PROJECT MONITORING TOOL

4.1. Aims and Ownership

The Project Monitoring tool aims at monitoring the progress of the Maturation phase, and in particular shall focus on the progress against the initial plan defined in the road map up to the reaching of the maturation phase End.

It shall be updated approximatively every quarter, during the Mentors missions.

The primary ownership of the tool is at Mentors hand. However, the tool shall be firstly updated by the SPV (Project In Charge) with the assistance of the Domestic Expert. The project monitoring tool update shall then be done in coordination between the three stakeholders (Project In Charge, Domestic Expert, Mentor).

4.2. Format and Structure

The tool is designed on Excel, and is structured around 5 sheets:

- Project Dashboard;
- General Information;
- Work Plan;
- Risk & Opportunities Management;
- Open Comments.

A specific color code points out the cells to update:

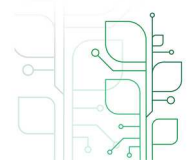
- Cells highlighted in orange shall be filled **only once** (such as the project name, project reference, initial workplan, etc...);
- Cells highlighted in yellow shall be filled **at every update of the tool**.

The format of the excel tool shall not be modified. In particular, the Project Dashboard sheet is used to update the Program Monitoring Tool (at PMU level), and it is forbidden to modify the format.

4.3. Project Dashboard

4.3.1.1. Objectives

The project Dashboard is **automatically updated based on the information provided in the others sheets**. It aims at providing a quick overview of the maturation progress, and in particular on the financial state, SPV & Project Compliance, maturation phase progress, maturation compliance, and progress on the four pillars.



Project Name

Project Dashboard

National Institute of Urban Affairs

Project Ref.:

Last update: 30/09/2019

Financial information

Project Cost: 0.00 INR	CITIIS Grant: 0.00 INR	Funds Released: 0.00 INR	Funds utilisation: 0.00 INR
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SPV & Project Compliance

Compliance		
Miscompliance		
SPV	✗	Independent director appointed in the board of directors GoI share has been transferred to SPV account
Project	✗	State Gov. Order endorsed by State Finance Dpt (sharing repayment of AFD loan with GoI (50/50)

Overall Progress

Maturation Starting Date	29/07/2019
Tri-partite agreement date	01/04/2019
Expected Maturation End Date	00/01/1900
Project Time Progress	<div style="width: 0%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 0%
Project Progress	<div style="width: 19%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 19%

Maturation Compliance

<p style="font-size: 8px; color: #0070C0;">Maturation Road Map</p> <p style="font-size: 8px; color: #0070C0;">Project Logical Framework (PLF)</p> <p style="font-size: 8px; color: #0070C0;">Project Feasibility Report</p> <p style="font-size: 8px; color: #0070C0;">Result-Based management tool</p> <p style="font-size: 8px; color: #0070C0;">Stakeholder Engagement Plan</p> <p style="font-size: 8px; color: #0070C0;">Procurement Plan</p> <p style="font-size: 8px; color: #0070C0;">Communication & Outreach Plan</p> <p style="font-size: 8px; color: #0070C0;">SPV Staffin plan</p>	<p style="font-size: 8px; color: #0070C0;">Environmental & Social Impact Assessment (ESIA)</p> <p style="font-size: 8px; color: #0070C0;">Environmental & Social Management Plan (ESMP)</p> <p style="font-size: 8px; color: #0070C0;">Detailed Preliminary Report (DPR)</p> <p style="font-size: 8px; color: #0070C0;">SPV Audit</p> <p style="font-size: 8px; color: #0070C0;">Utilization certificate</p> <p style="font-size: 8px; color: #0070C0;">Transfer of own source funds in the Project bank account</p> <p style="font-size: 8px; color: #0070C0;">Maturation Final Report</p>
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Project Structuring

	Progress
Maturation Road Map & PLF-V1	<div style="width: 5%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 5%
Baseline Study & Report	<div style="width: 0%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 0%
Feasibility Study	<div style="width: 0%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 0%
PLF update & DPR	<div style="width: 0%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 0%
Result-based management tool	<div style="width: 0%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 0%

Capacity Enhancement

	Progress
Organisation readiness & SPV Staffing Plans	<div style="width: 50%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 50%
Recruitment (E&S officer + engagement officer)	<div style="width: 80%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 80%
Training WS (E&S, M&E, communication) – PMU support	<div style="width: 75%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 75%
Additional training needs / gaps assessment	<div style="width: 0%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 0%
Capacity-building plan & Lessons learnt from Maturation phase	<div style="width: 0%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 0%

Stakeholder Engagement

	Progress
Mapping & Contact identification	<div style="width: 0%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 0%
Stakeholder Engagement Plan	<div style="width: 90%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 90%
WS co-design of scenarios	<div style="width: 0%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 0%
WS scenario selection with CLAF	<div style="width: 0%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 0%
Communication & outreach plan for implementation	<div style="width: 0%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 0%

Mainstreaming of CITIIS Values

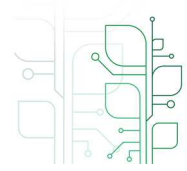
	Progress
Review of best practices & lessons learnt	<div style="width: 100%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 100%
E&S Screening & Innovation, climate change WS (PMU to SPV)	<div style="width: 30%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 30%
E&S Impact Assessment & validation of a quick win project	<div style="width: 0%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 0%
E&S Mitigation Measures & Quick-win pilot project	<div style="width: 0%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 0%
ESMP & Capitalization on the pilot project's outcomes	<div style="width: 0%; height: 10px; background: linear-gradient(to right, #0070C0, #ccc);"></div> 0%

Overview of the sheets

4.3.2. Filling the sheet

Only 3 cells shall be filled at the beginning of the maturation phase:

- Project name;
- Project Reference;
- Tri-partite agreement date.



4.3.3. Information provided by the sheet

4.3.3.1. SPV & Project Compliance

The SPV and the Project shall match specific requirements to be compliant to CITIIS. The detailed requirements are monitored in the General Information Sheet.

The Status of the compliance can be only:

- Compliant:
- Not compliant:

In case of incompliances, the incompliant requirements will be listed automatically.

4.3.3.2. Maturation Compliance

The Maturation compliance show the expected outputs from the maturation phase that shall be done prior considering the project as mature. The deliverables may have three status:

- Compliant:
- In Progress:
- Not started:

4.3.3.3. Overall Progress

Two progress are presented:

- Time Progress:** It refers to the time spent since the maturation start, compare to the expected end time. As an example, if the maturation is expected to last 9 months and that 3 months passed since the maturation started, the time progress will be 3 months / 9 months: 33%

33%

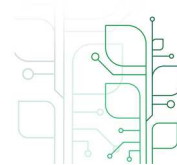
- Maturation Progress:** refers to the completed tasks (detailed in the Work Plan sheet).

19%

4.3.3.4. Pillars' Status

The Status of the 4 pillars (Project Structuring / Capacity Enhancement / Stakeholder Engagement / Mainstreaming of CITIIS Values) is presented as following:

- Step 1 not yet reached:
- Step 1 reached:
- Step 2 reached:
- Step 3 reached:
- Step 4 reached:
- Step 5 reached:



4.4. General Information Sheet

4.4.1.1. Objectives

The General Information Sheet aims at providing general information regarding the Project, including:

- Project Core Team contact details;
- Financial information, with details as per the 4 instalment stages;
- Details of the SPV and Project Compliance status;
- Maturation compliance.

Project Name		AFD		NIUA													
Project Progress Report - General Information Sheet																	
Project Ref.:	0	Last update: 30/09/2019															
Project Core Team																	
Entity	Contact Name	Position	Phone	Mail	Address												
Project In Charge																	
E&S Nodal Officer																	
Engagement & Partnership officer																	
Mentor																	
Domestic Expert																	
Financial Information																	
Project Cost:	0,00 INR		CITIS Grant: 0,00 INR														
Funds Released:	0,00 INR	<table border="1"> <thead> <tr> <th colspan="2">Maturation</th> <th colspan="2">Implementation</th> </tr> <tr> <th>1st Instalment (10%)</th> <th>2nd Instalment (40%)</th> <th>3rd Instalment (40%)</th> <th>4th Instalment (20%)</th> </tr> </thead> <tbody> <tr> <td>0,00 INR</td> <td>0,00 INR</td> <td>0,00 INR</td> <td>0,00 INR</td> </tr> </tbody> </table>				Maturation		Implementation		1st Instalment (10%)	2nd Instalment (40%)	3rd Instalment (40%)	4th Instalment (20%)	0,00 INR	0,00 INR	0,00 INR	0,00 INR
Maturation		Implementation															
1st Instalment (10%)	2nd Instalment (40%)	3rd Instalment (40%)	4th Instalment (20%)														
0,00 INR	0,00 INR	0,00 INR	0,00 INR														
Funds utilisation:	0,00 INR	<table border="1"> <thead> <tr> <th colspan="2">Maturation</th> <th colspan="2">Implementation</th> </tr> <tr> <th>1st Instalment (10%)</th> <th>2nd Instalment (40%)</th> <th>3rd Instalment (40%)</th> <th>4th Instalment (20%)</th> </tr> </thead> <tbody> <tr> <td>0,00 INR</td> <td>0,00 INR</td> <td>0,00 INR</td> <td>0,00 INR</td> </tr> </tbody> </table>				Maturation		Implementation		1st Instalment (10%)	2nd Instalment (40%)	3rd Instalment (40%)	4th Instalment (20%)	0,00 INR	0,00 INR	0,00 INR	0,00 INR
Maturation		Implementation															
1st Instalment (10%)	2nd Instalment (40%)	3rd Instalment (40%)	4th Instalment (20%)														
0,00 INR	0,00 INR	0,00 INR	0,00 INR														
SPV & Project Compliance																	
SPV Compliance			Project Compliance														
<p>SPV is incorporated</p> <p>Women directors appointed in the board of directors</p> <p>Independent director appointed in the board of directors</p> <p>Audit committee Constituted & approved</p> <p>GoI share has been transferred to SPV account</p> <p>State Gov. Share has been transferred to SPV account</p> <p>City Level Advisory Forum set up</p> <p>Delegation of Powers by state HPSC to SPV</p>			<p>Link with City's Smart City Strategy</p> <p>E&S self Assessment submitted</p> <p>No procurement for works has been launch</p> <p>Implementation between 18 and 30 months</p> <p>State Gov. Order endorsed by State Finance Dpt (showing repayment of AFD loan with GoI (50/50)</p>														
Maturation Compliance																	
<p>Maturation Road Map</p> <p>Project Logical Framework (PLF)</p> <p>Project Feasibility Report</p> <p>Result-based management tool</p> <p>Stakeholder Engagement Plan</p> <p>Procurement Plan</p> <p>Communication & Outreach Plan</p> <p>SPV Staff plan</p>			<p>Environmental & Social Impact Assessment (ESIA)</p> <p>Environmental & Social Management Plan (ESMP)</p> <p>Detailed Preliminary Report (DPR)</p> <p>SPV Audit</p> <p>Utilization certificate</p> <p>Transfer of own source funds in the Project bank account</p> <p>Maturation Final Report</p>														

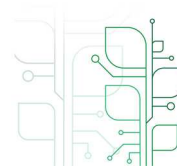
4.4.2. Filling the sheet

Contact details shall be filled **once, at the beginning of the Maturation phase**. It may be updated in case changes appear during the phase.

Financial information have to be updated in the sheet **on a regular basis**.

SPV compliance shall be **manually updated**: for each requirement, insert 0 for incompliance and 1 for compliance.

Most of the maturation compliance status comes directly from the work plan sheet. However, 4 requirements shall be **manually updated** in this specific sheet: SPV audit / Utilisation certificate / transfer of own source funds in the Project Bank Account / Maturation Final Report. Status of these Maturation compliance criteria shall be filled in %.



4.5. Work Plan Sheet

4.5.1.1. Objectives

The Work Plan sheet aims at defining the work Plan and monitor the effective progress.

The Program comprise the details of the 5 steps define for the Maturation.

Project Name		Project Progress Report - WorkPlan and Status		AFD		NIUA	
Project Ref.: 0		Last update: 30/09/2019					
Work Plan Progress				18%			
Step	Task	Start Date	End Date	Physical Progress	Comments		
Step 1	PLF - VI - finalisation			10%			
	Road Map			75%			
	SPV Staffing Plan			25%			
	Stakeholder Mapping						
	Best Practices appropriation			100%			
Step 2	Baseline Study Report			90%			
	SH Engagement Plan			80%			
	Recruitment (E&S + Engagement officers)			60%			
	E&S Screening						
	WS on innovation / Climate Change from NIUA						
Step 3	Feasibility Study						
	WS Scenario Design						
	Training WS (E&S, M&E, communication) from NIUA			75%			
	FSIA						
	Quick Win Identification						
Step 4	PLF Update						
	WS scenario selection with CLAF						
	Additional training needs/gaps assessment						
	E&S Mitigation Measures						
	Quick-win pilot project						
Step 5	DRR						
	M & E Plan / Result-based management tool						
	Communication & outreach plan for implementation						
	Capacity-building plan						
	Lessons learnt from Maturation phase						
E&S Management Plan							
Capitalization on the pilot project's outcomes							

4.5.1.2. Filling the Sheet

For each identified task, the Start Date and End Date **shall be filled once** at the beginning of the maturation phase (in the initial road map).



Thus, the progress **shall be monitored on a quarterly basis**. The progress shall be estimated in percentages, and comments can be added to inform about the progress of each task.

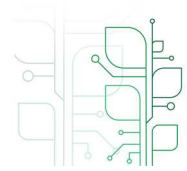
4.6. Risk & Opportunities Management Sheet

4.6.1.1. Objectives

The risks & Opportunities Management sheet aims at monitoring the risks and the opportunities throughout the maturation and implementation phase. It is the summary of the four steps of the risks & opportunities management:

- Identification;
- Assessment;
- Mitigation;
- Monitoring & Control.

Acceptable	
Major	
Critical	



► RISK & OPPORTUNITIES MITIGATION

Mitigation actions or decisions/actions shall be defined to manage the risk or the opportunities and ensure the minimization of the risks criticality or increase the opportunities criticality.

Main categories of actions are:

- **Avoid:** Eliminate the cause and then the probability of the risk / exploit if there is an opportunity;
- **Mitigate:** Reduce the probability of the risk impact with appropriate measures or enhance the probability if there is an opportunity;
- **Accept:** and Budget (accept the risk and budget for contingencies);
- **Transfer:** seek outside responsibility for risk management (ex. outsource) or share if opportunity.

Risk provision may be defined to cover the risks.

In addition, it is usually proposed to identify a 'Risk or Opportunity Owner', who will be in charge of (i) implementing the defined actions and (ii) monitoring the progress.

► RISK & OPPORTUNITIES MONITORING

Risk and Opportunities management is a **continuous process**.

In particular, the status of the risk or opportunity shall be regularly updated. As a consequence, during the update, **it is required to manually update the 'criticality at previous update' before updating the probability and impact, in order to provide the Trend.**

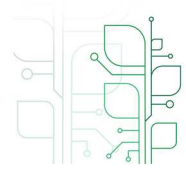
4.7. Open Comments Sheet



The Open comments sheet aims at giving space to SPV, Domestic Expert and Mentors to provide **written explanation of the progress**.

In particular, it is expected to get information on the gaps identified between the plan and the effective progress.

In case the SPV, Domestic Expert or Mentor would like to add specific information, a dedicated space is also provided.

The SPV and the TA team shall fill this sheet and add comments at every update of the tool, ie after each of the mentors' field visits.



Project Name		 
Project Progress Report - General Information Sheet		
Project Ref.:	0	Last update: 30/09/2019
<p>Written Comments on the Progress</p> <p>The SPV / Mentors and Domestic Expert shall provide here written explanation about the status of the project, and in particular any divergence from the Plan</p>		
Open Comments from the SPV		
Open Comments from the Mentors		
Open Comments from the Domestic Experts		